

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 42P17104

(maximum 12 characters)

First Named Inventor Remus Nicolaescu et al.Title: METHOD AND APPARATUS FOR RAMAN RING RESONATOR BASED LASER/WAVELENGTH CONVERTERExpress Mail Label No. EV320118506US

ADDRESS TO: Mail Stop: Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. XX **Fee Transmittal Form (e.g., PTO/SB/17)**
(Submit an original and a duplicate for fee processing)
2. Applicant Claims Small Entity Status. (37 CFR 1.27)
3. XX **Specification (Total Pages 31)**
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table,
or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. XX **Drawings(s) (35 USC 113) (Total Sheets 4)**
5. XX **Oath or Declaration (Total Pages 4)**
 - a. XX Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 18 completed)
 - i. **DELETIONS OF INVENTOR(S)** Signed statement attached deleting
inventor(s) named in the prior application, see 37 CFR 1.63(d)(2)
and 1.33(b).
 - c. Unsigned.
6. Application Data Sheet. (37 CFR 1.76)
7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statement verifying identity of above copies

19704 U.S. PTO
10/659009

ACCOMPANYING APPLICATION PARTS	
9.	<u>XX</u> Assignment Papers (cover sheet & documents(s))
10.	<div style="display: flex; align-items: flex-start;"> <div style="width: 50px; border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="margin-bottom: 5px;">a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)</div> </div> <div style="display: flex; align-items: flex-start;"> <div style="width: 50px; border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="margin-bottom: 5px;">b. Power of Attorney</div> </div>
11.	<div style="border-bottom: 1px solid black; width: 100%;"></div> English Translation Document (if applicable)
12.	<div style="display: flex; align-items: flex-start;"> <div style="width: 50px; border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="margin-bottom: 5px;">a. Information Disclosure Statement (IDS)/PTO-1449</div> </div> <div style="display: flex; align-items: flex-start;"> <div style="width: 50px; border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="margin-bottom: 5px;">b. Copies of IDS Citations</div> </div>
13.	<div style="border-bottom: 1px solid black; width: 100%;"></div> Preliminary Amendment
14.	<u>XX</u> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15.	<div style="border-bottom: 1px solid black; width: 100%;"></div> Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.	<div style="border-bottom: 1px solid black; width: 100%;"></div> Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). <u>Applicant must attach form PTO/SB/35 or its equivalent.</u>
17A.	<u>XX</u> Other: <u>Certificate of mailing with copy of postcard signed by attorney</u>
17B. <u>XX</u> Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.	
18A. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below <u>and</u> in a preliminary amendment, or in an Application Data Sheet Under 37 C.F.R. 1.76:	
<div style="display: flex; justify-content: space-between;"> <div style="width: 30%;"> <div style="display: flex; align-items: center;"> <input type="checkbox"/> Continuation Of Prior Application No.: <div style="border-bottom: 1px solid black; width: 150px;"></div> </div> <div style="display: flex; align-items: center;"> <input type="checkbox"/> Divisional Examiner <div style="border-bottom: 1px solid black; width: 100px;"></div> </div> </div> <div style="width: 30%;"> <div style="display: flex; align-items: center;"> <input type="checkbox"/> Continuation-in-part (CIP) Group Art Unit <div style="border-bottom: 1px solid black; width: 100px;"></div> </div> </div> <div style="width: 35%;"> <div style="display: flex; align-items: center;"> <input type="checkbox"/> CIP of prior application no. <div style="border-bottom: 1px solid black; width: 100px;"></div> </div> <div style="display: flex; align-items: center;"> <input type="checkbox"/> CIP of prior application no. <div style="border-bottom: 1px solid black; width: 100px;"></div> </div> </div> </div> <div style="font-size: small; margin-top: 5px;"> (which is a <input type="checkbox"/> continuation/ <input type="checkbox"/> divisional/ <input type="checkbox"/> CIP of prior application no. <div style="border-bottom: 1px solid black; width: 150px;"></div>) (List entire chain of priority) </div>	
Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority. For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.	
18B. Statement under 37 CFR 3.73(b) for <u>continuing</u> application: The undersigned states that <div style="border-bottom: 1px solid black; width: 400px;"></div> (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel. No. <div style="border-bottom: 1px solid black; width: 100px;"></div> Frame No. <div style="border-bottom: 1px solid black; width: 100px;"></div> (or a copy of which is attached).	
19. Correspondence Address Customer Number or Bar Code Label <div style="border-bottom: 1px solid black; width: 300px;"></div> <div style="text-align: center; margin: 5px 0;">or</div> <div style="text-align: center; font-size: small;">(Insert Customer No. or Attach Bar Code Label here)</div> <div style="display: flex;"> <div style="width: 50px; border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="margin-bottom: 5px;">Correspondence Address Below</div> </div> <div style="display: flex;"> <div style="width: 50px; border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="margin-bottom: 5px;">NAME <u>James Y. Go</u></div> </div> <div style="display: flex;"> <div style="width: 50px; border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="margin-bottom: 5px;"><u>BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP</u></div> </div> <div style="display: flex;"> <div style="width: 50px; border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="margin-bottom: 5px;">ADDRESS <u>12400 Wilshire Boulevard</u></div> </div> <div style="display: flex;"> <div style="width: 50px; border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="margin-bottom: 5px;"><u>Seventh Floor</u></div> </div> <div style="display: flex; justify-content: space-between; font-size: small;"> <div style="width: 30%;">CITY <u>Los Angeles</u></div> <div style="width: 30%;">STATE <u>California</u></div> <div style="width: 30%;">ZIP CODE <u>90025-1026</u></div> </div> <div style="display: flex; justify-content: space-between; font-size: small;"> <div style="width: 30%;">Country <u>U.S.A.</u></div> <div style="width: 30%;">TELEPHONE <u>(206) 292-8600</u></div> <div style="width: 30%;">FAX <u>(206) 292-8606</u></div> </div>	
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> Name (PRINT/TYPE): <u>James Y. Go</u> Signature: </div> <div style="width: 45%;"> Registration No.: <u>40,621</u> Date: <u>9-10-03</u> </div> </div>	

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL
for FY 2003**

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$ 970.00)**Complete if Known**

Application Number	New Patent Application
Filing Date	Concurrently herewith
First Named Inventor	Remus Nicolaescu et al.
Examiner Name	Not Yet Assigned
Art Unit	Not Yet Assigned
Attorney Docket No.	42P17104

METHOD OF PAYMENT (check all that apply)☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit
Account
Number
Deposit
Account
Name

02-2666

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 750	2001 375	Utility filing fee	750
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	

SUBTOTAL (1) (\$ 750)**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
30	-20** = 20	X 18	= 180
3	-3** = 0	X 84	= 0
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 180)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	40
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40)**SUBMITTED BY**

(Complete if applicable)

Name (Print/Type)	James Y. Go	Registration No. (Attorney/Agent)	40,621	Telephone	206-292-8600
Signature		Date	9-10-03		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.